

	Montana Operations Manual	Policy Number	XXXX
		Effective Date	[Date Effective]
		Last Revised	[None]
<i>Standard</i>			
Issuing Authority	State of Montana Chief Information Officer		
Software Asset Management			

## **I. Purpose**

This Software Asset Management (SAM) Standard (Standard) establishes the statewide specification and process requirements for the management of software assets.

This Standard is promulgated under the Statewide Enterprise Information Systems Acquisition Policy.

## **II. Scope**

This Standard applies to all executive branch agencies (Agency), excluding the university system, and other service providers (e.g. independent contractors) who have access to, use, or manage Information Technology.

## **III. Requirements**

In compliance with Statewide Enterprise Information Systems Acquisition Policy, Agencies shall implement this Standard using the International Standards Organization/International Electrotechnical Commission (ISO/IEC) 19770-1 technical standard for SAM as guidance.

### **A. Performance and Management Requirements**

Each Agency shall:

1. implement Agency software acquisition policies and procedures to ensure lawful acquisition and use of software;
2. assign SAM roles and responsibilities;
3. perform SAM based on assigned roles and responsibilities;
4. allocate adequate resources to implement SAM programs and controls;

5. establish and evaluate performance measures to assess implementation of this Standard and subordinate processes and procedures;
6. develop process(es) and procedure(s) to measure compliance with this Standard;
7. implement Organizational Management Processes for SAM through control procedure(s) using the ISO/IEC 19770-1 technical standard as guidance. The following list of controls (extracted from ISO/IEC 19770-1) shall be implemented not later than the associated effective timeframe:

<u>Control</u>	<u>Effective Timeframe</u>	<u>Calendar Date</u>
<b>PHASE ONE – Trustworthy Data</b>		
Knowing what you have so you can manage it.		
a. Software Asset Identification	2Q FY 14	Dec 31, 2013
b. Software Asset Inventory Management	2Q FY14	Dec 31, 2013
c. Software Asset Record Verification	2Q FY14	Dec 31, 2013
d. Software Licensing Compliance	2Q FY14	Dec 31, 2013
e. Conformance Verification for SAM	2Q FY14	Dec 31, 2013

#### **PHASE TWO – Practical Management**

Improving management controls and driving immediate benefits.

f. Corporate Governance Process for SAM	4Q FY14	Jun 30, 2014
g. Roles and Responsibilities for SAM	4Q FY14	Jun 30, 2014
h. Policies, Processes and Procedures for SAM	4Q FY14	Jun 30, 2014
i. Planning for SAM	4Q FY14	Jun 30, 2014
j. Monitoring and Review of SAM	4Q FY14	Jun 30, 2014

<u>Control</u>	<u>Effective Timeframe</u>	<u>Calendar Date</u>
k. Competence in SAM	4Q FY14	June 30, 2014
l. Conformance Verification in SAM	4Q FY14	Jun 30, 2014

The department head (or equivalent executive officer) has overall responsibility for providing adequate resources to support SAM.

<u>Control</u>	<u>Effective Timeframe</u>	<u>Calendar Date</u>
<b>PHASE THREE – Operational Integration</b>		
Improving efficiency and effectiveness.		
m. Relationship and Contract Management for SAM	2Q FY15	Dec 31, 2014
n. Financial Management for SAM	2Q FY15	Dec 31, 2014
o. Service Level Management for SAM	2Q FY15	Dec 31, 2014
p. Acquisition Process	2Q FY15	Dec 31, 2014
q. Software Deployment Process	4Q FY15	Jun 30, 2015
r. Retirement Process	4Q FY15	Jun 30, 2015
s. Conformance Verification for SAM	4Q FY15	Jun 30, 2015

#### **PHASE FOUR – Full ISO Conformance**

Achieving best-in-class strategic SAM.

t. Security Management for SAM	2Q FY16	Dec 31, 2015
u. Software Asset Security Compliance	2Q FY16	Dec 31, 2015
v. Change Management Process	2Q FY16	Dec 31, 2015
w. Software Development Process	2Q FY16	Dec 31, 2015

<u>Control</u>	<u>Effective Timeframe</u>	<u>Calendar Date</u>
x. Software Release Management Process	2Q FY16	Dec 31, 2015
y. Incident Management Process	4Q FY16	Jun 30, 2016
z. Problem Management Process	4Q FY16	Jun 30, 2016
aa. Software Asset Control	4Q FY16	Jun 30, 2016
bb. Implementation of SAM	4Q FY16	Jun 30, 2016
cc. Continual Improvement of SAM	4Q FY16	Jun 30, 2016
dd. Conformance Verification for SAM	4Q FY16	Jun 30, 2016
8. review SAM controls and procedures annually, and implement authorized changes to policy, standard(s), processes or procedures;		
9. report status of Agency SAM processes and Agency-controlled software assets annually to the State Chief Information Officer (CIO). The annual timeframe will be established at a future date; and		
10. report compliance to this Standard annually to the CIO. The annual timeframe will be established at a future date.		

The CIO shall develop and implement procedures to:

1. report statewide status of SAM compliance to the Information Technology Board (ITB) and Information Technology Managers Council (ITMC);
2. report statewide status of SAM inventories to the ITB and ITMC;
3. report SAM inconsistencies and violations to the ITB and ITMC; and
4. support agency SAM via consultation, training, and best practice guidance.

#### **IV. Definitions**

**Information Resources:** Information and related resources, such as personnel, equipment, funds, and information technology. Reference 44 U.S.C. Sec. 3502.

**Information System:** A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. Reference 44 U.S.C. Sec. 3502.

**Information Technology:** Hardware, software, and associated services and infrastructure used to store or transmit information in any form, including voice, video, and electronic data. Reference [2-17-506\(7\), MCA](#).

**International Organization for Standardization (ISO):** World's largest developer and publisher of international standards. Headquartered in Geneva, Switzerland, the organization represents 157 countries in its committees, subcommittees and working groups. The joint technical committee for information technology, formed between the ISO and the International Electrotechnical Commission, is JTC1. The JTC1 subcommittee for software and systems engineering is SC7 and the JTC1 SC7 working group for ISO/IEC 19770 SAM Standards is WG 21.

**ISO/IEC 19770 -1:** Software asset management standard released by the International Organization for Standardization in conjunction with the International Electrotechnical Commission. Adherence to the standard enables an organization to prove software asset management practices sufficient to satisfy corporate governance requirements and to ensure effective support for information technology service management overall.

**Software Asset Management (SAM):** The business discipline by which an organization aims to optimize investments in software by controlling, managing and improving upon configuration management, life-cycle management, inventory management and license compliance processes.

#### **V. Change Control and Exceptions**

The [Procedure for Establishing and Implementing Statewide Information Technology Policies and Standards](#) shall govern policy changes or exceptions. Submit requests for a review or change to this instrument by [Action Request](#) form (at [http://itsd.mt.gov/content/policy/policies/Administration/action\\_request.doc](http://itsd.mt.gov/content/policy/policies/Administration/action_request.doc)). Submit requests for exceptions by an [Exception Request](#) form (at [http://itsd.mt.gov/content/policy/policies/Administration/exception\\_request.doc](http://itsd.mt.gov/content/policy/policies/Administration/exception_request.doc)). Changes to policies and standards will be prioritized and acted upon based on impact and need.

## **VI. Closing**

Direct questions or comments about this Standard to the State Information Technology Services Division Chief Information Officer at [SITSD Service Desk](mailto:info@sit.sd.mt.gov) (at <http://servicedesk.mt.gov/ess.do>), or:

PO Box 200113  
Helena, MT 59620-0113  
(406) 444-2700  
FAX: (406) 444-2701

## **VII. References**

### **A. Legislation**

- [2-17-512\(1\)\(l\), MCA, Powers and duties of department.](#)
- [2-17-514\(3\), MCA, Department - enforcement responsibilities.](#)
- [2-17-518, MCA, Rulemaking authority.](#)

### **B. Policies, Directives, Regulations, Rules, Procedures, Memoranda**

- [Statewide Policy: Establishing and Implementing Statewide Information Technology Policies and Standards](#)
- [Statewide Procedure: Establishing and Implementing Statewide Information Technology Policies and Standards](#)

### **C. Standards, Guidelines**

- ISO/IEC 19770-1 technical standard for Software Asset Management (SAM)